


FORM PTO-1390 (REV. 11-2000)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER 015280-377100US	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (If known, see 37 CFR 1.5)	
				09/936,888	
INTERNATIONAL APPLICATION NO. PCT/US00/06364		INTERNATIONAL FILING DATE March 10, 2000		PRIORITY DATE CLAIMED March 12, 1999	
TITLE OF INVENTION PREVENTION OF FETAL ALCOHOL SYNDROME AND NEURONAL CELL DEATH WITH ADNF POLYPEPTIDES					
APPLICANT(S) FOR DO/EO/US Douglas BRENNEMAN, Catherine Y. Spong, Illana Gozes, Merav Bassan, and Rachel Zamostiano					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<p>1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 36 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</p> <p>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 37(c)(2))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been communicated by the International Bureau</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> is attached hereto.</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p style="margin-left: 20px;">d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). [Please see below.]</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p>Items 11 to 20 below concern document(s) or information included:</p> <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A FIRST preliminary amendment.</p> <p>14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 – 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 36 U.S.C.</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information: Applicants previously submitted the required Declarations. Enclosed are copies from our EXPRESS MAIL NO. EL394871695US filing to the PTO with the Declarations and Powers of Attorney of Douglas Brennenman and Catherine Y. Spong; Declarations of Illana Gozes, Merav Bassan, and Rachel Zamostiano; Express Mail Receipt; and Return Receipt Postcard. Therefore, Applicants believe that NO FEE IS DUE.</p>					

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21. <input type="checkbox"/> The following fees are submitted:				CALCULATIONS PTO USE ONLY	
BASIC NATIONAL FEE (37 CFR 1.492(A) (1) – (5)):					
Neither international preliminary examination fee (37 CFR 1.492) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO\$1000.00					
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search report prepared by the EPO of JPO\$860.00					
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO\$710.00					
International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)\$690.00					
International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)(4)\$100.00					
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$0	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	33 - 20 =	13	x \$18.00	\$0	
Independent claims	3 - 3 =	0	x \$80.00	\$0	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ 270.00	\$0	
TOTAL OF ABOVE CALCULATIONS =				\$0	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$0	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFT 1.492(f)).				\$	
TOTAL NATIONAL FEE =				0	
Fee for recording the enclosed assignment (37 CFR 1.2(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$	
TOTAL FEES ENCLOSED =				\$0	
130.00 CH				Amount to be refunded:	\$
				charged:	\$0
a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed.					
b. <input type="checkbox"/> Please charge my Deposit Account No. 20-1430 in the amount of \$_____ to cover the above fees.					
c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 20-1430. A duplicate copy of this sheet is enclosed.					
d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO:					
Annette S. Parent					
Townsend and Townsend and Crew LLP					
Two Embarcadero Center, 8th Floor					
San Francisco, CA 94111					
					
SIGNATURE					
Annette S. Parent					
NAME					
42,058					
REGISTRATION NUMBER					

BOX PCT (National Phase) PATENT APPLICATION
FILING ACKNOWLEDGMENT

Mailing Date: September 12, 2001 Express Mail Label No.: EL 394871695 US
File No.: 015280-377100US Attorney: Annette S. Parent/kji
Inventor(s): BRENNEMAN et al.
Title: PREVENTION OF FETAL ALCOHOL SYNDROME AND NEURONAL CELL
DEATH WITH ADNF POLYPEPTIDES

- ☒ Transmittal Letter to the United States Designated/Elected Office (DO/EO/US)
Concerning a Filing under 35 U.S.C. 371, w/authorization to charge fee (+duplicate);
- ☒ Declarations and Powers of Attorney of Douglas Brenneman and Catherine Y. Spong;
- ☒ Declarations of Illana Gozes, Merav Bassan, and Rachel Zamostiano;
- ☒ Appointment of Associate Attorneys and Agents;
- ☒ Statement under 37 C.F.R. §3.73(b); and
- ☒ Change of Correspondence Address.

Please stamp date of receipt of the enclosed documents and return this card to addressee

BOX PCT (National Phase) PATENT APPLICATION
FILING ACKNOWLEDGMENT

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File No.: 015280-377100US Attorney: Annette S. Parent/kji
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Date In 9/12/01	<input type="checkbox"/> 12 Noon <input checked="" type="checkbox"/> 3 PM	Postage \$ 17.45
Time In 7 AM <input checked="" type="checkbox"/> PM	Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Return Receipt Fee
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FROM: (PLEASE PRINT) PHONE **(415) 576-0200**

TOWNSEND & TOWNSEND & CREW
2 EMBARCADERO CTR FL 8
SAN FRANCISCO CA 94111-3823

Annette S. Parent, Esq.
015280-377100US

TO: (PLEASE PRINT) PHONE

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